

Docket No. 256241US0PCT



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Naoto OHTA, et al.

SERIAL NO: 10/501,333

GAU:

FILED: July 23, 2004

EXAMINER:

FOR: ANODE MATERIAL FOR LITHIUM ION SECONDARY BATTERY

INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

REFERENCES

- ☒ The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

RELATED CASES

- ☒ Attached is a list of applicant's pending application(s), published application(s) or issued patent(s) which may be related to the present application. In accordance with the waiver of 37 CFR 1.98 dated September 21, 2004, copies of the cited pending applications are not provided. Cited published and/or issued patents, if any, are listed on the attached PTO form 1449.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

CERTIFICATION

- ☐ Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

DEPOSIT ACCOUNT

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

Norman F. Oblon

Registration No. 24,618

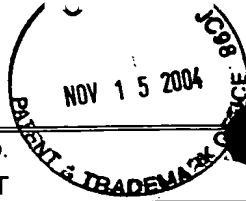
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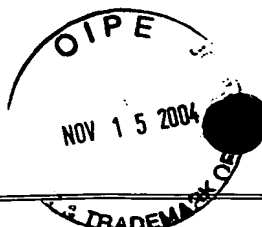
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Surinder Sachar

Registration No. 34,423



Form PTO 1449 (Modified)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO. 256241US0PCT		SERIAL NO. 10/501,333	
LIST OF REFERENCES CITED BY APPLICANT				APPLICANT Naoto OHTA, et al.			
				FILING DATE July 23, 2004		GROUP	
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA	2003-0049535	03/13/03	OHTA, Naoto et al. (Serial #. 10/239,208)			
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES NO		
	AB	11-204109	07/30/99	JP (with English abstract)			NO
	AC	04-370662	12/24/92	JP (with English abstract)			NO
	AD	05-335016	12/17/93	JP (with English abstract)			NO
	AE	09-213328	08/15/97	JP (with English abstract)			NO
	AF	05-275076	10/22/93	JP (with English abstract)			NO
	AG	10-036108	02/10/98	JP (with English abstract)			NO
	AH	11-246209	09/14/99	JP (with English abstract)			NO
	AI	11-310405	11/09/99	JP (with English abstract)			NO
	AJ	11-343108	12/14/99	JP (with English abstract)			NO
	AK	2000-003708	01/07/00	JP (with English abstract)			NO
	AL	2000-058052	02/25/00	JP (with English abstract)			NO
	AM	2000-123826	04/28/00	JP (with English abstract)			NO
	AN	2001-143691	05/25/01	JP (with English abstract)			NO
	AO	2002-241117	08/28/02	JP (with English abstract)			NO
	AP	2002-348109	12/04/02	JP (with English abstract)			NO
	AQ	2003-282145	10/03/03	JP (with English abstract)			NO
	AR	2002-151069	05/24/02	JP (with English abstract)			NO
	AS	10-294111	11/04/98	JP (with English abstract)			NO
	AT	2000-348720	12/15/00	JP (with English abstract)			NO
	AU	2000-357506	12/26/00	JP (with English abstract)			NO
	AV	2002-008656	01/11/02	JP (with English abstract)			NO
	AW	2003-151551	05/23/03	JP (with English abstract)			NO
	AX	2003-173774	06/20/03	JP (with English abstract)			NO
	AY	11-199211	07/27/99	JP (with English abstract)			NO
	AZ	2001-126726	05/11/01	JP (with English abstract)			NO
	AAA	09-326254	12/16/97	JP (with English abstract)			NO
	AAB	10-012241	01/16/98	JP (with English abstract)			NO
	AAC	2000-106182	04/11/00	JP (with English abstract)			NO
	AAD	2001-202961	07/27/01	JP (with English abstract)			NO
<input type="checkbox"/> Additional References sheet(s) attached							
Examiner					Date Considered		
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

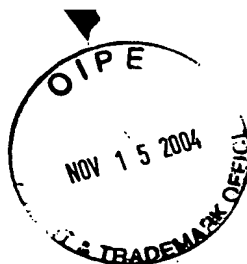


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LIST OF REFERENCES CITED BY APPLICANT				APPLICANT Naoto OHTA, et al.			
				FILING DATE July 23, 2004		GROUP	
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES NO		
	AAE	2002-141062	05/17/02	JP (with English abstract)		NO	
	AAF	2002-367611	12/20/02	JP (with English abstract)		NO	
	AAG	05-094838	04/16/93	JP (with English abstract)		NO	
	AAH	05-159771	06/25/93	JP (with English abstract)		NO	
	AAI	05-217604	08/27/93	JP (with English abstract)		NO	
	AAJ	05-290889	11/05/93	JP (with English abstract)		NO	
	AAK	05-307976	11/19/93	JP (with English abstract)		NO	
	AAL	10-255851	09/25/98	JP (with English abstract)		NO	
	AAM	10-284080	10/23/98	JP (with English abstract)		NO	
	AAN	10-321218	12/04/98	JP (with English abstract)		NO	
	AAO	05-307977	11/19/93	JP (with English abstract)		NO	
	AAP	11-054123	02/26/99	JP (with English abstract)		NO	
	AAQ	2000-306582	11/02/00	JP (with English abstract)		NO	
	AAR	2000-311687	11/07/00	JP (with English abstract)		NO	
	AAS	2000-357516	12/26/00	JP (with English abstract)		NO	
	AAT	2001-035493	02/09/01	JP (with English abstract)		NO	
	AAU	2001-229924	08/24/01	JP (with English abstract)		NO	
	AAV	2001-313031	11/09/01	JP (with English abstract)		NO	
	AAW	2001-313032	11/09/01	JP (with English abstract)		NO	
	AAX	2002-015740	01/18/02	JP (with English abstract)		NO	
	AAY	2002-324580	11/08/02	JP (with English abstract)		NO	
OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)							
	AAZ	INAGAKI, Michio et al. "A New Simple Process for Carbon Coating of Ceramic Particles using Poly(Vinyl Chloride)", Journal of the European Ceramic Society, vol. 18, pages 1011-1015 1998					
Examiner					Date Considered		
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

U.S. PCT Application Serial No.: 10/501,333  
Docket No.: 256241US0PCT

STATEMENT OF RELEVANCY

- 1) References \_\_\_\_\_ have been cited in the International Search Report. Copies of these references are being submitted herewith only when not automatically provided by the International Searching Authority.
- 2) References \_\_\_\_\_ have been cited in the corresponding \_\_\_\_\_ Search Report. A copy of these references is being submitted herewith.
- 3) References AB-AE are discussed in the specification. A copy of these references is being submitted here with.
- 4) References AF-AAZ are additional prior art known to Applicant. A copy of these references is being submitted herewith.



LIST OF RELATED CASES

<u>Docket Number</u>	<u>Serial or Patent Number</u>	<u>Filing or Issue Date</u>	<u>Patent Appl. Publication No.</u>	<u>Inventor/ Applicant</u>
256241US0PCT*	10/501,333	7/23/04	-	OHTA, et al.
228679US0PCT	10/239,208	9/27/02	US 2003- 0049535 A1	OHTA, et al.

\*Present Application; listed for information  
NFO/get